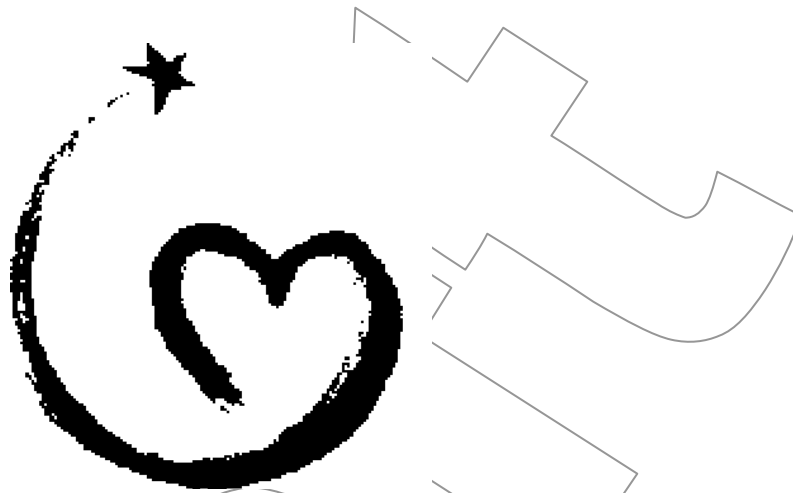


**STATE PLAN FOR CALIFORNIA
CHILD CARE & DEVELOPMENT FUND SERVICES
FOR THE PERIOD 10/1/01 – 9/30/03**



**CHILD CARE AND DEVELOPMENT FUND PLAN
FOR CALIFORNIA
FFY 2002-2003**

This Plan describes the CCDF program to be conducted by the State for the period 10/1/01 – 9/30/03. As provided for in the applicable statutes and regulations, the Lead Agency has the flexibility to modify this program at any time, including changing the options selected or described herein.

The official text of the applicable laws and regulations govern, and the Lead Agency acknowledges its responsibility to adhere to them regardless of the fact that, for purposes of simplicity and clarity, the specific provisions printed herein are sometimes paraphrases of, or excerpts and incomplete quotations from, the full text.

Public reporting burden for this collection of information is estimated to average 162.57 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

(Form ACF 118 Approved OMB Number: 0970-0114 expires 02-29-2004)

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AMENDMENTS LOG

[illegible]

- 1) Lead Agency completes the first 3 columns and sends a photocopy of this Log (showing the latest amendment sent to ACF) and the amended section(s) to the ACF Regional contact. A copy of the Log, showing the latest amendment pending in ACF, is retained in the Lead Agency's Plan.
- 2) ACF completes column 4 and returns a photocopy of the Log to the grantee.
- 3) The Lead Agency replaces this page in the Plan with the copy of the Log received from ACF showing the approval date.

Amended Effective:

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PART 1 -- ADMINISTRATION

The agency shown below has been designated by the Chief Executive Officer of the State (or Territory), to represent the State (or Territory) as the Lead Agency. The Lead Agency agrees to administer the program in accordance with applicable Federal laws and regulations and the provisions of this Plan, including the assurances and certifications appended hereto. (658D, 658E)

1.1 Lead Agency Information: (as designated by State chief executive officer)

Name of Lead Agency: **California Department of Education (CDE)**

Address of Lead Agency: **721 Capitol Mall
Sacramento, California 95814**

Name and Title of the
Lead Agency's Chief Executive Officer: **Delaine Eastin,
State Superintendent of Public Instruction**

Phone & Fax Numbers: **(916) 657-4766 phone
(916) 657-3000 fax**

1.2 State Child Care (CCDF) Contact Information: (day-to-day contact)

Name and Title of the
State Child Care Contact (CCDF): **Michael Silver, Administrator**

Address of Contact: **560 J Street, Suite 220
Sacramento, California 95814**

Phone & Fax Numbers: **(916) 322-6233 phone
(916) 323-6853 fax**

E-Mail Address: **msilver@cde.ca.gov**

1.3 The Lead Agency estimates that the following amounts will be available for child care services and related activities during the 1-year period: October 1, 2001 through September 30, 2002. (§98.13(a))

-Federal Child Care & Development Fund: **\$ 493,697,000**
-Federal TANF Transfer to CCDF (if known): **\$ 271,870,000**
-Direct Federal TANF Spending on Child Care (if known): **\$ 574,100,000**
-State Maintenance of Effort Funds: **\$ 85,593,217**
-State Matching Funds: **\$ 184,700,000**

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1.4 The Lead Agency estimates that the following amount (and percentage) of the CCDF will be used to administer the program (not to exceed 5 percent): \$ 9,552,000 (1.12 %). (658E(c)(3), §§98.13(a), 98.52)

1.5 Does the Lead Agency directly administer and implement all services, programs and activities funded under the CCDF Act, including those described in Part 5 – Activities & Services to Improve the Quality and Availability of Child Care?

() Yes. – GO to Section 1.8.

(X) No, and the following describes how the Lead Agency maintains overall control when services or activities are provided through other agencies. (658D(b)(1)(A), §98.11)

The CDE maintains overall administrative control and oversight responsibilities using the following procedures:

A. Negotiation, issuance and execution of contracts, grants or interagency agreements.

B. Provision of technical assistance to contractors, grantees and public agencies.

C. Monitoring of fiscal and service data reports required to be submitted by contractors, grantees, or other public agencies.

D. Reviewing fiscal and compliance audits required to be submitted by contractors, grantees, or other public agencies for final close-out of contracts and grants. State agencies are audited by the Bureau of State Audits.

E. 1. Review of each child care and development service contractor at the local level by the CDE or other authorized representatives using the following procedures:

a. Agency annual self-review.

b. The CDE will conduct Coordinated Compliance Reviews (CCRs)/ Contract Monitoring Reviews (CMRs) of each school or contracted program every three years.

c. Requirements contained in interagency agreements.

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2. Review of contractors or grantees providing quality improvement activities include:

- a. Review of monthly invoices and progress reports.
- b. Review and approval of materials during development and prior to final production.
- c. Review of training plan and observation of training activities.
Review of client evaluations of training activities.
- d. Contract for periodic independent evaluations of the efficiency and effectiveness of all major quality improvement activities.

1.6 For child care services funded under §98.50 (i.e., certificates, vouchers, grants/contracts for slots based on individual eligibility), does the Lead Agency itself: (§98.11)

- Determine individual eligibility of non-TANF families? YES ___ NO X
If NO, identify the name and type of agency that determines eligibility of non-TANF families for child care:

Eligibility for services of non-TANF families is determined by the local child care and development agency that is under contract with the CDE.

- Determine individual eligibility of TANF families? YES ___ NO X
If NO, identify the name and type of agency that determines eligibility of TANF families for child care:

Eligibility for services of TANF families is determined by the local child care and development agency that is under contract with the CDE.

- Assist parents in locating child care? YES ___ NO X
If NO, identify the name and type of agency that assists parents:

Child Care Resource and Referral (R&R) agencies located in every county of California.

- Make payments to providers? YES ___ NO X
If NO, identify the name and type of agency that makes payments:

Agencies that make payments to providers include:

- Alternative Payment Programs (APPs), including County Welfare Departments (CWDs) under contract with the CDE.
- The CDE to programs under contract to provide direct services.

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1.7 Is any entity named in response to section 1.6 a non-governmental entity? (658D(b), §§98.10(a), 98.11(a))

☐ No.

☒ Yes, the following entities named in section 1.6 are non-governmental:

Private non-profit and private for-profit contractors, including direct service providers, APP agencies, and R&R agencies.

Section 1.8 - Use of Private Donated Funds

1.8.1 Will the Lead Agency use private donated funds to meet a part of the matching requirement of the CCDF pursuant to §98.53(e)(2) and (f)?

☒ No. GO TO 1.9

☐ Yes, and the entity designated to receive private donated funds is:

Name of entity:

Address:

Contact:

1.8.2 Is the entity designated to receive private donated funds (named above) a non-governmental agency? (§98.11(a))

☐ Yes.

☐ No.

Section 1.9 - Use of State Pre-Kindergarten (Pre-K) Expenditures

1.9.1 During this plan period, will State expenditures for Pre-K programs be used to meet any of the CCDF maintenance of effort (MOE) requirement?

☒ No.

☐ Yes, and the State assures that its level of effort in full day/full year child care services has not been reduced, pursuant to §98.53(h)(1).

1.9.2 During this plan period, will State expenditures for Pre-K programs be used to meet any of the CCDF Matching Fund requirement? (§98.53(h))

☒ No.

☐ Yes, and the following describes State efforts to ensure that pre-K programs meet the needs of working parents (§98.53(h)(2)):

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1.9.3 Will the State use Pre-K expenditures to meet more than 10% of the:

- Maintenance of effort requirement, OR
- Matching fund requirement?

If No to both, CHECK HERE X.

If Yes to either, the following describes how the State will coordinate its Pre-K and child care services to expand the availability of child care (§98.53(h)(4)).

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PART 2 -- DEVELOPING THE CHILD CARE PROGRAM

Section 2.1 – Consultation and Results of Coordination:

Describe the consultations the Lead Agency held in developing this Plan. At a minimum, the description must include the following: 1) the representatives of local governments (including tribal organizations when such organizations exist within the boundaries of the State) that were consulted (658D(b)(2), §§98.12(b), 98.14(b)); and, 2) the results of coordination with other Federal, State, local, and tribal (if applicable) agencies and programs including those involved with public health, employment, public education, and TANF. (658D(b)(1)(D), §§98.12(a), 98.14(a)(1) & (2))

Since the passage of the Personal Responsibility and Work Opportunity Reconciliation Act (PRWORA) in 1996 and the California Work Opportunity and Responsibility to Kids Statute (CalWORKs) (AB 1542, Chapter 270 of the Statutes of 1997), the CDE has enhanced its ongoing consultative relationships with various state and local agencies affected by the State Plan. The CDE maintains an ongoing, collaborative relationship with the California Department of Social Services (CDSS), which is the State TANF agency, in order to establish consistent State policies for the purpose of achieving a seamless system of welfare-related child care services in California.

At a policy level, a CalWORKs Principals Group was established and continues to meet on a regular basis to address funding, programmatic and quality issues. Participants includes management staff from:

- CDE, Child Development Division (CDD);
- CDSS, Welfare to Work Division, Child Care Programs Bureau;
- CDSS, Community Care Licensing Division; and
- Chancellor's Office of the California Community Colleges.

At the program level, the CalWORKs Child Care Advisory Group consists of representatives from the CDE, the CDSS, six representatives from the California Alternative Payment Program Association (CAPPA), six representatives from the California Welfare Directors Association (CWDA), and a representative of the Community Colleges from the Chancellor's Office. This Advisory Group meets on a regular basis to provide a statewide perspective on the local administration of CalWORKs child care. It also plays a critical role in providing input on program and policy issues and in identifying CalWORKs child care problems for possible resolution.

The CDE has established an ongoing communication mechanism with all tribes in California, both CCDF-funded and otherwise, in order to facilitate and consult on the delivery of services to all children and families in the State. Tribal representatives fully participate in the Head Start - State Collaboration Advisory Committee in which child care issues and barriers are identified and resolved.

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In addition to the above, the CDE coordinates the delivery of subsidized child care and development services in California with the following State and local organizations:

- A. The CDE collaborates with the California Head Start Association through the activities of the Head Start – State Collaboration Office. Members of the Head Start Collaboration Office Advisory Committee, which is convened by the CDE, include representatives of:
- CDSS, Welfare to Work and Community Care Licensing Divisions;
 - California Department of Health Services;
 - California Department of Developmental Services;
 - CDE, Child Nutrition Programs and Special Education Division;
 - Head Start Quality Improvement Center (QIC) and Quality Improvement Center for Disability Services (DIS-QIC) contractors;
 - Tribal and Migrant Head Start programs; and
 - The California Head Start Association.
- B. CDE staff attend monthly meetings of the Child Development Policy Advisory Committee, a statutorily-created entity under the Governor. The State Superintendent of Public Instruction is a member of this entity, and the CDE's Director of the Child Development Division (CDD) is the Superintendent's designee. The CDE participates in various workgroups to address CCDF implementation issues. This has resulted in wider dissemination of information, greater consistency of policy direction on a statewide basis, and greater understanding among all key players in the State about child care issues.
- C. The CDE coordinates activities related to health and safety issues with the *Healthy Child Care America* Project sponsored by the U.S. Department of Health and Human Services' Child Care Bureau and the Maternal and Child Health Bureau and administered locally by San Diego State University.
- D. The CDE coordinates child care and development services with tribal organizations by providing information and access to the State's child care and development services and training programs, complimentary dissemination of training materials, and use of the TrustLine clearance of license-exempt tribal child care providers.
- E. The CDE works closely with the CDSS, the designated TANF agency for California. The CDSS, via the CWDs in all 58 counties in the State, coordinates with the Employment Development Department, which is the agency responsible for providing employment-related services in California.

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- F. The CDE works with county Offices of Education, school districts, and private schools to coordinate the delivery of child care and development services throughout the State. The CDE works closely with Local Education Agencies (LEAs) for both input and dissemination of information since school systems represent a large portion of the child care delivery system.
- G. Before- and after-school child development services are provided at or near school sites wherever possible. In recent years, the growing need for and concern about high quality before- and after-school programs has resulted in a significant increase in funding for those programs. The State's After School Learning and Safe Neighborhoods Partnerships Program (SB 1756/AB 1428/AB 2284; Statutes of 1998) established local after school education and enrichment programs. The program was amended in 1999 by AB 1154 (Torlakson) and AB 566 (Havice). Local programs link schools with communities to provide literacy and academic enrichment support and safe, constructive alternatives for students in kindergarten through ninth grade. Grantees include LEAs, and cities, counties, charter schools, or nonprofit organizations in partnership with, and with the approval of, a LEA or LEAs. The After School Learning and Safe Neighborhoods Partnerships Program provides an opportunity to merge school reform strategies with activities offered by other parts of the community to improve assistance to students and their families and broaden the base of support for education. The planning and development of each initiative involves collaboration among parents, youth, representatives from schools and governmental agencies - such as city and county parks and recreation departments - and individuals from community-based organizations and the private sector.
- H. The CDE understands the importance of linking children and families with continuous and accessible health care services. For this reason, the CDE works closely with the California Department of Health Services (CDHS) to create and maintain the linkage between child care and health care. In California, the State provides services for pregnant women and children through a variety of programs, including Medi-Cal (the State's Medicaid program), Access for Infants and Women (AIM), and the Healthy Families Program (HFP). Together, these three programs cover children up to 250 percent of the federal poverty level and pregnant women and their infants up to 300 percent of the federal poverty level.

The link between health care and child care is made even stronger by the requirement that children be age-appropriately immunized before being enrolled in child care settings. Because of the growing concern about the proper immunization of children, the CDHS, CDSS, and CDE have worked to achieve the result of higher immunization rates among children. Each year the percentage of children fully immunized upon enrollment in child care has increased from the previous year. These outcomes are a direct result of continuing partnership and coordination among the CDSS' Community Care

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Licensing Division, the CDHS' Prevention Services Division's Immunization Branch, and the Child Care Health Program funded by the CDE.

This partnership between the child care community and the health care community will be maintained and enhanced with the funding of the California Child Care Health Line, a toll-free telephone line providing consultation on children's health and safety issues to parents and child care providers. Pediatric health professionals answer this telephone line. The Healthline receives 200 to 300 calls per month with the average length of each call being about 15 minutes.

- I. The CDE supports the overall coordination of child care services at the local level through Child Care and Development Planning Councils (LPCs) established in each of the 58 counties. The LPCs are mandated to conduct county child care needs assessments and to prepare plans to address identified needs. These assessments must include information on the supply and demand for child care, including the need for both subsidized and non-subsidized care. The CDE is providing guidance and technical assistance to the LPCs as they develop their needs assessments. The CDE utilizes all of the collected data from the needs assessments to obtain a statewide picture of child care need.

A recent in depth evaluation of LPCs documented that LPCs are coordinating activities with as many as 41 different agencies. LPCs have formed close working partnerships with all of the local Children and Families Commissions and many other agencies.

- J. The Children and Families Act of 1998, known as Proposition 10, added a 50 cent tax per pack of cigarettes and created the Children and Families First Program to allocate the revenues to corresponding state and county commissions for early childhood development programs. The CDE has established an ongoing relationship with the California Children and Families Commission, and is formally represented at the State Commission's meetings.
- K. The CDE is in close coordination with many public and private agencies and organizations concerning the services and programs to be funded with CCDF funds. Public and private agencies include: colleges and universities, family child care associations, and R&R agencies. As a result of this ongoing coordination, funding has brought about significant increases in the quantity and quality of child care in California. Some examples include:
- 96 community colleges participate in the Child Development Training Consortium (CDTC). In 2000, 8,147 students participated, earning a total of 59,373 units of college course credit. The CDTC paid stipends for 4,065 Child Development Permits;
 - 69 community colleges participated in the California Early Childhood Mentor Program. In 2000, 501 Classroom Mentors trained 539 students in

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- supervision or mentoring, mentored 1,334 practicum students, and mentored 54 teachers following practicum. The average number of placements per Classroom Mentor increased by 17 percent. 78 Director Mentors trained 166 Directors in mentoring and mentored 48 protégé directors.; and
 - During 1999, R&R programs assisted nearly 225,000 parents seeking child care and were in contact with more than 40,000 child care providers.

Section 2.2 - Public Hearing Process:

Describe the Statewide public hearing process held to provide the public an opportunity to comment on the provision of child care services under this Plan. At a minimum, the description must include the date(s) of the hearing(s), how and when the public was notified Statewide of the hearing(s), the hearing site(s), and how the content of the Plan was made available to the public in advance of the hearing. (658D(b)(1)(C), §98.14(c))

In April 2001, the CDE prepared a draft of the proposed 2002 – 03 CCDF State Plan. The draft of the complete proposed Plan was posted on the CDE Internet website at http://www.cde.ca.gov/cyfsbranch/child_development/plan.htm.

A separate announcement of public hearing locations, dates and times, together with a brief summary of the Plan and notification of the website address for the complete draft Plan was sent to the following:

- R&R agencies;
- LPCs;
- CDE contractors;
- CWDs;
- County Offices of Education;
- School districts;
- Tribal organizations;
- Community college early childhood education departments;
- State and County Children and Families Commissions;
- Early Start Programs;
- Head Start grantees within California;
- Parent Teacher Associations;
- California Children's Roundtable members;
- Public universities and colleges;
- Child development professional organizations;
- Educational organizations; and
- A list of interested parties.

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Three public hearings were held in various parts of the State, namely:

Date	Location
May 14, 2001	YWCA of Oakland – Hall, 2 nd floor 1000 Oak Street, Oakland
May 16, 2001	Diagnostic Center of the Central Valley – Conference Room 1818 West Ashlan Avenue, Fresno
May 23, 2001	State Building – Room 135 6150 Van Nuys Boulevard, Van Nuys

Announcements of the 2002-03 CCDF State Plan Public Hearing dates and locations also included an invitation to submit comments via mail, fax or e-mail for those persons who reviewed the draft 02-03 Plan and were unable to attend one of the public hearings.

Section 2.3 - Public-Private Partnerships: Describe the activities, including planned activities, to encourage public-private partnerships which promote private-sector involvement in meeting child care needs. (658D(b)(1), §98.16(d))

The State has a wide range of public-private partnerships.

A. Child Care Initiative Project

The Child Care Initiative Project was created in 1985 to address the shortage of licensed, quality family child care in California. The Initiative is conducted by the nonprofit California Child Care Resource and Referral Network through State and federally funded R&R agencies throughout the State. State General Funds are matched on a 2-1 basis with private corporate or foundation funds. The Initiative funds are used to implement a five-stage family child care supply building process. This process includes:

- Assessing local supply and demand for child care services to target specific geographic areas in need of additional services;
- Recruiting interested individuals who have the potential to become licensed family child care providers;
- Training these individuals to provide quality care and to manage a small business effectively;
- Providing technical assistance to help them get licensed and begin operation; and
- Providing on-going support so the providers will stay in operation.

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B. Program for Infant/Toddler Caregivers

This is a comprehensive, multi-media program for trainers of infant/toddler caregivers. The Program for Infant/Toddler Caregivers (PITC) was developed and is being implemented through a collaborative relationship between the CDE and WestEd, a non-profit research, development and service agency dedicated to improving education and other opportunities for children, youth and adults and serving as the regional education laboratory for Arizona, California, Nevada and Utah. Funds used to develop the PITC included State General Fund carryover dollars, WestEd funds, and grants from several private foundations including the Carnegie Foundation, Ford Foundation and Irving Harris Foundation. PITC training materials are jointly owned by the CDE and WestEd. Proceeds from the sale of the products are used by the PITC to update existing materials, create additional training resources, and support training activities. CCDF dollars are used in California to support annual training of a minimum of 240 new trainers and to conduct graduate seminars for endorsed PITC trainers every two years. On-line support of PITC training participants and graduates is also provided through an Internet distribution list. Numerous other States and the Migrant Early Head Start programs have also received the benefit of the PITC training over the past several years.

C. Facilities Loan Guarantee and Direct Loan Fund Programs

California has implemented loan guarantee and direct loan programs to obtain, maintain, or expand child care facilities. These programs are the result of collaborative efforts between the CDE, the Department of Housing and Community Development, and various banks. The programs provide either a loan guarantee in an amount up to 80 percent of the loan or a direct loan in an amount of up to 50 percent of the cost to be financed. The priority of these programs is for services to children from low-income housing.

D. Training on Building Private-Public Partnerships

To facilitate private-public partnerships, the CDE sponsored a one-day training on the topic for all LPCs. Every LPC received intensive training and all of the materials from the Child Care Partnership Project which was funded by the Administration of Children Youth and Families. This effort will position LPCs, as funded representatives of the Lead Agency, to be better able to form partnerships in their local communities.

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E. Consumer Education

The CDE's child development consumer education campaign is specifically focused on increasing the involvement of private child care programs and private businesses by joining with the CDE in increasing awareness about the importance of quality child care. The campaign has formed partnerships with the Packard Foundation, Mervyn's Department Stores, and Target Stores to help get the campaign's message out to the public. The campaign produced a parent resource guide, "*Care About Quality – Your Guide to Child Care*" that was first issued September 2000 to CDD funded agencies and many child care organizations throughout the State. Several organizations contributed to the guide, including: California Child Care Resource and Referral Network, Child Action, Child Care Health Program, The Children's Council of San Francisco, Family Resources and Referral Center (San Joaquin county), National Association for the Education of Young Children, and Parent Voices.

F. Other Public-Private Partnerships

- A series of community-based in-service training sessions on the CDE's recently published *Pre-Kindergarten Learning and Development Guidelines* are being held throughout the State. The CDE/CDD has contracted with RISE Learning Solutions to produce this nine hour course. The Training Program is divided into three training sessions of three hours each. Each training session consists of two hours of interactive satellite broadcast and one hour small group interaction with a local facilitator. The California Association for the Education of Young Children (CAEYC) is providing overall project supervision and administration.
- Seven public television stations in Eureka, Fresno, Los Angeles, San Diego, San Francisco, San Jose, and Redding provide training for approximately 2,500 family child care providers and parents via the Public Broadcasting Preschool Education Project. A network of trainers provides information on how to use television appropriately in the education of young children.
- *The Quality Child Care Initiative (QCCI)* is a collaborative effort of the San Francisco Bay Area Early Childhood Funders (ECF) group. The group is an informal affiliation of approximately 35 foundations, donors, and corporations, with a common interest in funding projects that support young children and their families. The funders meet quarterly to broaden their knowledge of the early childhood field and share insights, grantmaking opportunities, and informational resources. The overarching goal of QCCI is to bring additional focus and support to local Bay Area efforts directed at increasing the availability and quality of child care for low-income working families and their children from birth to age twelve.

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The QCCI Leadership Team, comprised of representatives of The San Francisco Foundation, the David and Lucile Packard Foundation, the Miriam and Peter Haas Fund, and the Trio Foundation, directs the Initiative. The San Francisco Foundation Community Initiative Fund serves as the Initiative's fiscal sponsor. Other funders include: Jenifer Altman Foundation, California Endowment, W. Clement and Jessie V. Stone Foundation, East Bay Community Foundation, David B. Gold Foundation, Carol P. Guyer, Evelyn and Walter Haas Jr. Fund, Walter and Elise Haas Fund, Luke B. Hancock Foundation, Hearst Foundation, Hellman Family Fund, Marin Community Foundation, Morris Family Foundation, Peninsula Community Foundation, The San Francisco Department of Children, Youth and Families, The Tara Fund, The United Way of the Bay Area, Wood Kaufman Family Trust, and individual anonymous donors. The CDE has been involved in several mutual projects with the QCCI, including the development of the centralized eligibility lists.

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PART 3 -- CHILD CARE SERVICES OFFERED

Section 3.1 - Description of Child Care Services:

REMINDER: The Lead Agency must offer certificates for services funded under 45 CFR 98.50. (98.30) Certificates must permit parents to choose from a variety of child care categories including center-based care, group home care, family child care and in-home care. (§98.30(e))

3.1.1 In addition to offering certificates, does the Lead Agency also have grants or contracts for child care slots?

☐ No.

☒ Yes, and the following describes the types of child care services and the range of providers that will be available through grants or contracts: (658A(b)(1), 658P(4), §§98.16(g)(1), 98.30(a)(1) & (b))

A full range of child care and development services is available throughout the State through direct service contracts with centers and family child care home networks, and certificate programs (APPs and CWDs). Certificate programs (including CWDs) provide access to a full range of child care providers including centers; family child care homes; large family child care homes; and license-exempt care in the home of a relative, in the home of a friend, or in the child's own home.

3.1.2 The Lead Agency must allow for in-home care, but may limit its use. Does the Lead Agency limit the use of in-home care in any way?

☐ No.

☒ Yes, and the limits and the reasons for those limits are (§§98.16(g)(2), 98.30(e)(1)(iv)):

In-home care is limited by state regulations for license-exempt care and to situations where there is a sufficient number of children requiring care to ensure that the Federal wage laws are met as specified in the grant approval letter received in October 1997 from the Administration for Children and Families.

3.1.3 Are all of the child care services described in 3.1.1 above (including certificates) offered throughout the State? (658E(a), §98.16(g)(3))

☒ Yes

☐ No, and the following are the localities (political subdivisions) and the services that are not offered:

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Section 3.2 - Payment Rates for the Provision of Child Care :

The statute (at 658E(c)(4)) requires the Lead Agency to establish payment rates for child care services that ensure eligible children equal access to comparable care and these rates are provided as Attachment A. The attached payment rates are effective as of N/A – See Attachment A.

The following is a summary of the facts relied on by the State to determine that the attached rates are sufficient to ensure equal access to comparable child care services provided to children whose parents are not eligible to receive child care assistance under the CCDF and other governmental programs. Include, at a minimum:

- The month and year of the local market rate survey(s): May 2000 (§98.43(b)(2))
- How the payment rates are adequate to ensure equal access based on the results of the above noted local market rate survey (i.e., the relationship between the attached payment rates and the market rates observed in the survey): (§98.43(b))

In conducting the state regional market rate survey of licensed centers and family child care homes, the rate data by enrollment was weighted to reflect the number of children a provider serves at each rate. The reimbursement ceilings, thus, reflect child care slots and not child care providers. Each rate category within each county or subcounty is 1.5 standard deviations above the mean reimbursement ceiling. Therefore, the maximum reimbursement rates for center-based care and family child care homes are set at over 85 percent of the market charges. Full-time in-home/license-exempt ceilings were calculated by applying an adjustment factor of .90 to the full-time family child care home ceiling.

- Additional facts that the Lead Agency relies on to determine that its payment rates ensure equal access include: (§98.43(d))

none

- If the payment rates do not reflect individual rates for the full range of providers -- center-based, group home, family and in-home care -- explain how the choice of the full range of providers is made available to parents:

NA

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Section 3.3 - Eligibility Criteria for Child Care :

By statute, all eligible children must be under the age of 13 and reside with a family whose income does not exceed 85% of the State Median Income (SMI) for a family of the same size and whose parent(s) are working or attending a job training or educational program or who receive or need to receive protective services. (658E(c)(3)(B), 658P(3), §98.20(a))

3.3.1 Complete column (a) in the matrix below. Complete Column (b) **ONLY IF** the Lead Agency is using income eligibility limits lower than 85% of the SMI.

IF APPLICABLE

Family Size	(a) 85% of State Median Income (SMI) (\$/month)	(b) Income Level, lower than 85% SMI, if used to limit eligibility (\$/month)
1	3,094	2,730
2	3,094	2,730
3	3,315	2,925
4	3,683	3,250
5	4,273	3,770

3.3.2 How does the Lead Agency define “income” for the purposes of eligibility? Is any income deducted or excluded from total family income, for instance, work or medical expenses; child support paid to, or received from, other households; Supplemental Security Income (SSI) payments? Is the income of all family members included, or is the income of certain family members living in the household excluded? Please describe and/or include information as Attachment [NA](#). (§§98.16(g)(5), 98.20(b))

Income counted to determine eligibility includes all sources of income to the family except:

- Earnings of a child under age eighteen years;
- Loans, grants, and scholarships obtained under conditions that preclude their use for current living costs;
- Grants or loans to students for educational purposes made or insured by a state or federal agency;
- Allowances received for uniforms or other work required clothing, food and shelter;
- Business expenses for self-employed family members; and

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- Income of a recipient of federal supplemental security income benefits pursuant to Title XVI of the Federal Social Security Act (42 U.S.C. § 1381 et seq.) and state supplemental program benefits pursuant to Title XVI of the Federal Social Security Act and Chapter 3 (commencing with § 12000) of Part 3 of Division 9 of the *Welfare and Institutions Code*.

According to California *Education Code* § 8263.1(a) a family is “income eligible” if a family’s adjusted monthly income is at or below 75 percent of the SMI, adjusted for family size, and adjusted annually.

3.3.3 Has the Lead Agency established additional eligibility conditions or priority rules, for example, income limits that vary in different parts of the State, special eligibility for families receiving TANF, or eligibility that differs for families that include a child with special needs? (658E(c)(3)(B), §98.16(g)(5), §98.20(b))

- ☒ No
☐ Yes, and the additional eligibility criteria are: (Terms must be defined in Appendix 2)

3.3.4 Has the Lead Agency elected to waive, on a case-by-case basis, the fee and income eligibility requirements for cases in which children receive, or need to receive, protective services, as defined in Appendix 2? (658E(c)(3)(B), 658P(3)(C)(ii), §98.20(a)(3)(ii)(A))

- ☐ Not Applicable, CCDF-funded child care is not provided in cases in which children receive, or need to receive, protective services.
☐ No
☒ Yes

3.3.5 Does the Lead Agency allow child care for children age 13 and above who are physically and/or mentally incapable of self-care? (Physical and mental incapacity must then be defined in Appendix 2.) (658E(c)(3)(B), 658P(3), §98.20(a)(1)(ii))

- ☐ No
☒ Yes, and the upper age is **18**.

3.3.6 Does the Lead Agency allow child care for children age 13 and above who are under court supervision? (658P(3), 658E(c)(3)(B), §98.20(a)(1)(ii))

- ☒ No
☐ Yes, and the upper age is ____.

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- 3.3.7 Does the State choose to provide CCDF-funded child care to children in foster care whose foster care parents are not working, or who are not in education/training activities? (§§98.20(a)(3)(ii), 98.16(f)(7))
- () Yes. (**NOTE:** This means that for CCDF purposes the State considers these children to be in protective services.)
- (X) No.
- 3.3.8 Does the State choose to provide respite child care to children in protective services? (§§98.16(f)(7), 98.20(a)(3)(ii)(A) & (B))
- (X) Yes. **On referral from a licensed professional only.**
- () No.

Section 3.4 Priorities for Children:

- 3.4.1 The following describes the priorities for serving CCDF-eligible children including how statutorily required priority is given to children of families with very low family income and children with special needs: (Terms must be defined in Appendix 2) (658E(c)(3)(B))

First Priority – Families whose children are receiving child protective services or families whose children are at risk of being neglected, abused, or exploited. Within this priority, children receiving protective services through the local CWD shall be admitted first.

Second Priority – Families with the lowest per capita income. Within this group, if there are two or more families with comparable per capita income, the family with a child with special needs will be served first. If two or more families with comparable per capita income have children with special needs, the family that has been on the waiting list the longest will be enrolled first.

Notwithstanding the above, in order to assure continuous child care services as a family moves through the CalWORKs stages (see 3.4.2 below), after a family begins receiving child care in any of the CalWORKs stages that family is assured services as it transitions between stages of CalWORKs child care.

- 3.4.2 The following describes how CCDF funds will be used to meet the needs of families who are receiving Temporary Assistance for Needy Families (TANF), families who are attempting through work activities to transition off of TANF, and families that are at risk of becoming dependent on TANF. (658E(c)(2)(H), Section 418(b)(2) of the Social Security Act, §§98.50(e), 98.16(g)(4))

California passed welfare reform legislation in 1997. This legislation created the California Work Opportunity and Responsibility to Kids (CalWORKs)

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program effective January 1, 1998. It replaced the State's Aid to Families with Dependent Children program.

In regards to child care, the CalWORKs program was intended to ensure that recipients of aid, and former recipients who left aid for employment, are connected as soon as possible to local child care resources. The legislation created three stages of child care services through which a CalWORKs Participant would pass. Families are not to experience any break in service due to a transition among the three stages of CalWORKs child care.

The CDSS administers Stage One through CWDs. The first stage begins upon entry of a family into the CalWORKs program. Eligibility for child care services continues as long as the family continues to receive aid and for up to 24 months after the CalWORKs recipient leaves cash aid. CWDs refer families to a R&R agency to assist them in finding child care providers.

Stages Two and Three of CalWORKs child care programs are administered by the CDE through its APP (certificate program) mode. The CWD will move recipients of aid to Stage Two as quickly as possible after it determines that the recipient's situation is stable, as defined by each county.

After a CalWORKs recipients leaves cash aid, he/she may receive child care services for up to 24 months in Stage One and/or Stage 2; or until otherwise ineligible within that 24-month period.

CalWORKs Stage Three child care begins when the family has exhausted its 24 months eligibility after leaving cash aid.

Section 3.5 - Sliding Fee Scale for Child Care Services:

- 3.5.1 A sliding fee scale, which is used to determine each family's contribution to the cost of child care, must vary based on income and the size of the family. A copy of this sliding fee scale for child care services and an explanation of how it works is provided as Attachment B.

Will the Lead Agency use additional factors to determine each family's contribution to the cost of child care? (658E(c)(3)(B), §98.42(b))

☒ No.

☐ Yes, and the following describes any additional factors that will be used to determine a family's contribution including, but not limited to, a maximum amount (family cap), number of children in care, and/or whether care is full or part-time:

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3.5.2 Is the same sliding fee scale provided in the attachment in response to question 3.5.1 above in use in all parts of the State? (658E(c)(3)(B))

☒ Yes

☐ No, and other scale(s) are provided as Attachment ____.

3.5.3 The Lead Agency may waive contributions from families whose incomes are at or below the poverty level for a family of the same size, (§98.42(c)), and the poverty level used by the Lead Agency for a family of 3 is: \$ 1,950.

The Lead Agency must elect ONE of these options:

☒ ALL families with income at or below the poverty level for a family of the same size ARE NOT required to pay a fee.

☐ ALL families, including those with incomes at or below the poverty level for families of the same size, ARE required to pay a fee.

☐ SOME families with income at or below the poverty level for a family of the same size ARE NOT required to pay a fee. A description of these families is:

3.5.4 Does the Lead Agency have a policy which prohibits child care providers from charging families any unsubsidized portion of the providers' normal fees (in addition to the contributions discussed in 3.5.1)? (§98.43(b)(3))

☒ No

☐ Yes, please describe:

3.5.5 The following is an explanation of how the copayments required by the Lead Agency's sliding fee scale(s) are affordable: (§98.43(b)(3))

The copayments are considered affordable as they fall beneath 10 percent of a family's earned income for all levels of child care services.

Section 3.6 - Certificate Payment System:

A child care certificate means a certificate, check, or other disbursement that is issued by the Lead Agency directly to a parent who may use it only to pay for child care services from a variety of providers (including center-based, group home, family and in-home child care), or, if required, as a deposit for services. (658E(c)(2)(A)), 658P(2), §§98.2, 98.16(k), 98.30(c)(3) & (e)(1))

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Describe the overall child care certificate payment process, including, at a minimum:

3.6.1 A description of the form of the certificate: (§98.16(k))

Local certificate programs, including APPs and CWDs, are allowed to determine the exact form(s) of the certificate as long as the certificates are provided directly to the parent, allow broad parental choice including sectarian and in-home providers, carry the value of the care selected by the parent (up to the applicable payment ceilings), and can be used as flexibly as cash between the parent and the provider; and the program ensures prompt issuance of the certificate and timely and accurate reimbursement to either the parent or the provider of child care services while discouraging fraud and abuse. A copy of a sample certificate is included as Attachment C.

3.6.2 A description of how the certificate program permits parents to choose from a variety of child care settings by explaining how a parent moves from receipt of the certificate to the choice of provider: (658E(c)(2)(A)(iii), 658P(2), §§98.2, 98.30(c)(4) & (e)(1) & (2))

When parents are enrolled by a certificate program, they are asked if they have selected a child care provider. If they have not selected a child care provider, they are referred to the local R&R agency. (In many counties, the certificate program and the R&R program are operated by the same agency.) The R&R agency provides counseling on how to select a child care provider that best meets the family's needs and a list of providers that meet these needs and that the parent can visit. Once the parent has identified a provider, the certificate program works with the provider to determine the provider's fee for the services that the family is eligible to receive. The certificate program then compares the provider's fee with the appropriate market rate ceiling to determine if the parent will need to pay an amount to cover any cost above the regional market rate ceiling. The provider is informed about the certificate program's policies and procedures for receiving invoices and processing payments. The provider is required to provide the certificate program with evidence of licensure or, if the provider is license-exempt, he/she must submit a TrustLine Application with fingerprints and a Health and Safety Self-Certification that is signed by both the parent and the provider.

3.6.3 If the Lead Agency is also providing child care services through grants and contracts, explain how it ensures that parents offered child care services are given the option of receiving a child care certificate. (§98.30(a) & (b))

When parents place their name on a waiting list for child care services, they are expressing their choice for selecting the type of care that best meets the

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needs of the family. At the present time in most counties, parents can place their name on multiple waiting lists, including those for direct service programs and certificate programs. If a family has placed its name on multiple waiting lists and its name comes up on a direct service program waiting list first, the family can elect to enroll their child in the direct service program and remain on the certificate program waiting list, or the family can decline to enroll their child in the direct service program and wait for their name to come up on the certificate program's waiting list.

California is continuing to explore the feasibility of centralized eligibility lists (CELs) that would provide parents with a single access point of entry into the program of their choice. The Budget Act of 2000-01 appropriated \$1.5 million to fund a Centralized Waiting List Pilot Project. This one-time funding is allowing financial support to pilot selected CEL projects throughout the State.

In State fiscal year (SFY) 2000-01, approximately 90 percent of the \$832 million in federally funded child care services (direct CCDF plus TANF Transfer) was expended through contracts with APP agencies, i.e., certificate programs. The remaining 10 percent was expended through contracts with direct service providers.

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PART 4 - PROCESSES WITH PARENTS

4.1 The following describes the process for a family to apply/receive child care services (658D(b)(1)(A), 658E(c)(2)(D) & (3)(B), §§98.16(k), 98.30(a) through (e)). If the process varies for families based on eligibility category, for instance, TANF versus non-TANF, please describe. The description should include:

- How parents are informed of the availability of child care services and of available child care options;
- Where/how applications are made;
- Who makes the eligibility determination;
- How parents who receive TANF benefits are informed about the exception to individual penalties as described in 4.4; and
- Length of eligibility including variations that relate to the services provided, e.g., through collaborations with Head Start or pre-kindergarten programs.

4.1(a) *How Parents Are Informed of the Availability of Child Care Services and of Available Child Care Options:*

California maintains a large system of approximately seventy R&R agencies that are located in every county of the State. In large urban counties, multiple R&R agencies are funded. For example, Los Angeles County has ten R&R agencies.

In addition, the California Child Care Resource and Referral Network maintains a statewide toll-free telephone number (1-800-KIDS 793) that automatically provides the caller with the phone number of the local R&R agency when the caller provides his/her zip code.

A primary role of the R&R programs is to maintain an updated file of all licensed child care programs (centers and family child care homes) in their service delivery area. The R&R programs also maintain records of license-exempt providers who have received TrustLine clearance to assure parents that these providers do not have a history of criminal activities or child abuse or neglect. When a parent calls an R&R agency seeking information about child care choices available to them, he/she is counseled about how to select the most appropriate care to meet the family's needs. At that time, he/she is given a list of several child care providers of the types and in the locations (whether near home, work or place of training) in which he/she has indicated an interest. Parents are given advice about the types of questions to ask their families' potential child care providers, and what they should look for as indicators of quality child care services. Parents may be given written consumer education materials or provided an opportunity to

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view a video regarding the selection of a child care provider. Parents are also advised regarding the types of subsidized child care and development programs for which their families may be eligible and how to access those programs. R&R program services are available to all families, regardless of the family's income or need for child care.

When a family enters CalWORKs, the CWD refers the family to a local R&R agency to assist them in finding child care. These services are co-located in or are directly accessible from the CWD office.

4.1(b) *Where/How Applications Are Made:*

When a family contacts a subsidized child care and development program either in person or by telephone, the family is asked a series of questions to determine for which, if any, subsidized child care programs the family may be eligible. Based on the information provided, if the family is eligible and space is available, the family is enrolled. If no space is available, the family is placed on an eligibility-waiting list and enrolled in the order of priorities for enrollment as spaces become available. A family's enrollment is subject to completion of an application, including verification of income and need. In the case of CalWORKs families, funding is available to provide immediate services without waiting.

4.1(c) *Who Makes the Eligibility Determination:*

The direct service contractor or the APP makes the eligibility determination based on the written documentation that verifies that the family meets both income eligibility and need criteria for subsidized child care services.

4.1(d) *How Parents who Receive TANF Benefits Are Informed about the Exception to Individual Penalties as described in 4.4:*

In accordance with the CDSS' Manual of Policies and Procedures (MPP) §42-711.522, counties must, prior to or at CalWORKs appraisal, provide clients with specified information, in writing, regarding CalWORKs Welfare-To-Work. The information must include the "good cause" criteria in MPP §42-713, which excuses a recipient from participation in Welfare-to-Work activities for lack of necessary supportive services, including the lack of appropriate and/or available child care.

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4.1(e) *Length of Eligibility including Variations that relate to the Services Provided, e.g., through Collaborations with Head Start or Pre-Kindergarten Programs:*

To receive State or federal subsidized child care and development services, families must meet eligibility and need criteria. Parents must live or work in California. Families may receive child care services that use federal funds for children to age thirteen, except that children with physical or mental incapacity may be served to age eighteen. Families can remain in the program as long as they meet all eligibility criteria and their family income does not exceed 75 percent of the SMI.

Contractors must update a family's application to document continued need and eligibility and determine any change to fee assessment as follows:

1. For migrant and other seasonally employed families, the application shall be updated within thirty days whenever there is a change in family size or need, or if need is based on training or incapacity of the parent.
2. For all other families, the application shall be updated within thirty days whenever there is a change in family size, income, public assistance status, or need.

After initial certification and enrollment,

1. For families receiving services because of the risk of or actual abuse, neglect, or exploitation, at least every six months.
2. For all other families, at least once each contract period and at intervals not to exceed twelve months.

4.2 The following is a detailed description of how the State maintains a record of substantiated parental complaints and how it makes the information regarding such parental complaints available to the public on request. (658E(c)(2)(C), §98.32))

4.2(a) **Complaints against Licensed Centers and Family Child Care Homes:**

1. The provider is required to notify parents of the process for filing a complaint with the CDSS' Community Care Licensing Division (CCLD). The CCLD is responsible for all complaints regarding licensing law or regulation requirements, pursuant to the *California Health and Safety Code* and the *California Code of Regulations*, Title 22. The CCLD investigates complaints and maintains a record of substantiated complaints that is available to the public upon request.

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2. In programs operated by school districts, if a parent has a complaint regarding program operations not covered by licensing requirements, the parent must utilize the Uniform Complaint Procedure established by the school district. Records of substantiated complaints are kept by the school district.
3. In programs operated by entities other than school districts, parent may file complaints regarding program operations not covered by licensing requirements with the CDE/CDD. The parent must utilize the Uniform Complaint Procedure established by the CDE/CDD. Records of these parental complaints are maintained at the CDD.

4.2(b) Complaints against Licensed-Exempt Providers:

Certificate programs are required to maintain a record of parental complaints concerning a license-exempt provider's failure to meet the health and safety standards as specified in the Health and Safety Self-Certification that is completed by the parent and the license-exempt provider. These complaints shall be deemed to be substantiated solely by the parent's written declaration. The written declarations shall include the nature and address of the provider about whom the complaint is made, and shall be signed by the parent. The certificate program shall inform the license-exempt provider of the parent's complaint and inform the provider of their right to submit a written rebuttal.

Upon a request about a specific license-exempt provider, the certificate program shall inform the requestor of the general nature of the complaint and whether or not the provider submitted a rebuttal.

Upon receipt of a complaint, the certificate program must notify the parent and the provider that payments will cease in fourteen days unless a written declaration signed by both parties has been received by the certificate program stating that the health and safety deficiency has been corrected. The certificate program will also advise parents that serious health and safety concerns should be referred to the appropriate child protection unit of the CWD.

- 4.3 The following is a detailed description of the procedures in effect in the State for affording parents unlimited access to their children whenever their children are in the care of a provider who receives CCDF funds. (658E(c)(2)(B), §98.31))

Licensed child care providers (centers and family child care homes) are required by statute and regulation to have written admission policies that,

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among other things, inform parents of their right to unlimited access to their children whenever their children are in the care of the provider. For license-exempt providers, the providers and parents are both required to sign a Health and Safety Self-Certification which includes a statement regarding the parent's right to unlimited access to their children while they are in the provider's care.

- 4.4 The regulations at §98.33(b) require the Lead Agency to inform parents who receive TANF benefits about the exception to the individual penalties associated with the work requirement for any single custodial parent who has a demonstrated inability to obtain needed child care for a child under 6 years of age.

In fulfilling this requirement, the following criteria or definitions are applied by the TANF agency to determine whether the parent has a demonstrated inability to obtain needed child care:

(NOTE: The TANF agency, not the Child Care Lead Agency, is responsible for establishing the following criteria or definitions. These criteria or definitions are offered in this Plan as a matter of public record. The TANF agency that established these criteria or definitions is: **CDSS**.)

- "appropriate child care":

Appropriate child care is defined as child care chosen by the parent that meets the needs of the child and parents and is either licensed for the appropriate age group or special needs category, or is license-exempt and meets TrustLine requirements unless the child care arrangement is exempt from the TrustLine requirements.

- "reasonable distance":

Reasonable distance is defined as the distance customarily traveled by working families in accessing child care in the community.

- "unsuitability of informal child care":

Informal child care is unsuitable when the caregiver cannot be TrustLined in accordance with the TrustLine regulations or would otherwise be denied payment for child care services that are exempt from licensure because of a violent felony conviction.

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-
- "affordable child care arrangements":

Affordable child care is child care where the cost to the family does not exceed the regional market rate plus family fees established by the state in accordance with the family fee schedule.

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**PART 5 - ACTIVITIES & SERVICES TO IMPROVE
THE QUALITY AND AVAILABILITY OF CHILD CARE**

California's commitment to early childhood education and child development spans over five decades. Quality child development programs have been continuously available to children and families in California since the passage of the federal Lanham Act in 1943. *The Bulletin of the California State Department of Education*, Volume XI, No. 1, January 1943, states, "The preschool unit serves the child during one of the most important periods of his development. It helps him to learn about his world; to develop more skillful use of his body; to work with people, both children and adults; to acquire appreciation of music, rhythm, color, form, literature; to develop sound attitudes; and to acquire increasingly better control of his emotions and behavior (p. 33)."

California continues to promote a positive child- and family-focused philosophy. Service to low-income families remains a priority and State program goals demand that high-quality child development programs and services be made available. Child care and development programs have existed and been administered by various State agencies since 1946. In 1972, with the enactment of the Child Development Act, these programs were combined under the administrative authority of the CDE.

California has also held a strong commitment to the maintenance of basic health and safety standards in group-care settings. The first licensing law was enacted in 1913. The State Board of Charities and Corrections had investigatory and reporting powers with regard to all public charitable, correctional and penal institutions. Licensing responsibilities became part of the *Health and Safety Code* in 1945, and in 1978 licensing responsibilities for all Community Care Facilities were transferred to the new CDSS.

Since 1991, the State has been engaged in a major expansion of child care and development services as a result of both State and federal legislation, notably the Child Care and Development Block Grant (CCDBG) programs. These expansion efforts have significantly increased both the quantity and variety of State and federally subsidized programs throughout California.

During the first two years that CCDBG funds were available, emphasis was placed on funding successful existing programs including resource and referral agencies, the Child Development Training Consortium, the Program for Infant/Toddler Caregivers, and the California Early Childhood Mentor Program. Three additional focus areas have continued in importance in succeeding years. These include: (1) attention to issues of health and safety resource development and training, (2) facilitation and linkage with local communities, and (3) response to legislative mandates.

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Welfare reform brought about a major shift during the 1997-98 funding cycle by creating the need to build the supply of child care spaces for children and increase the quantity of trained staff. The need to focus attention on the TANF recipient was addressed by allocating funds to train welfare recipients as: (1) licensed or license-exempt family child care providers, or (2) teachers meeting all requirements to attain the California Child Development Permit at the teacher level. A State mandated capacity building initiative was also launched to build the supply of care and better serve children and families in underserved areas of the State.

The proposed Quality Improvement Plan for 2001–2003 includes the federal mandates for infant/toddler capacity building, resource and referral programs, and school-age capacity building. It also includes the continuation of California's existing infrastructure for quality activities and the addition of several innovative new activities. Within each section, activities that receive federal block grant funding will be organized using the federal state plan numbering system. Each activity in this plan that includes state funding will be identified using two asterisks "**".

5.1 The Child Care and Development Fund provides earmarks for infant and toddler care and school-age care and resource and referral services as well as the special earmark for quality activities.

- The following describes the activities funded to improve the quality of care for infants/toddlers and identifies the entity(ies) providing them:

5.1.1(a) Program for Infant/Toddler Caregivers Institutes

This comprehensive multi-media training program for trainers of infant/toddler caregivers is presented in four separate modules which cover the topics of social-emotional development, quality group care, cognitive and language development, and cultural and family issues. Participants who complete the modules and related course work receive certificates that recognize them as endorsed trainers for the Program for Infant/Toddler Caregivers (PITC). Endorsed trainers who receive scholarships will be required to conduct a minimum of twenty-five hours of training in their local area during the following two years using the PITC materials. Participants receive copies of all curriculum guides, training manuals, and other print resource materials from the program and are able to purchase the videos at discounted prices. Endorsed trainers may also receive scholarships to attend an annual graduate conference that will focus on new and updated information relative to PITC content and training activities.

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5.1.1(b) Infant Toddler Specialists for Healthline

Funds will be allocated to continue to support the presence of an infant/toddler specialist to respond to inquiries from potential, new, and existing family child care, including license-exempt, and center-based providers related to health and developmental issues for children from birth to three years of age. An infant health specialist will be added to the Healthline to provide guidance about health issues in infant and toddler programs.

5.1.1(c) Resource Grants

Funds will be allocated to provide grants to providers to cover the cost of infant/toddler equipment, appropriate educational materials, minor renovation and repairs to meet health and safety requirements, and environmental changes to support small groups and continuity of care, primary caregiving, and following children's individual schedules.

5.1.1(d) Expansion of the Child Care Initiative Project with an Infant/Toddler Focus

Funds will be allocated to maintain and expand the Child Care Initiative Project to increase the supply of infant/toddler family child care providers throughout the state by the recruitment, training, and initial support of family child care providers serving infants and toddlers. This effort will focus on those counties with the greatest unmet need for infant/toddler care.

5.1.1(e) Outreach Sessions

Funds will be allocated to conduct approximately 15-25 outreach training sessions for existing planning groups to continue to support the implementation of their county infant/toddler capacity plan. These plans were initiated during community forums conducted during SFY 1998-1999. Approximately 15-30 other outreach sessions will be held for specific target populations. WestEd will coordinate these sessions. Critical topics will include:

- Recent brain research and implications of these research findings for administrative policies;
- Results of national studies of child care quality; and
- Program practices and care-giving strategies that support optimal infant/toddler development.

The content and length of the specifically targeted sessions will be customized to meet the needs of the unique audiences including directors, teen parent groups, American Indian tribal groups, and other planning agencies.

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5.1.1(f) Inclusion of Infants and Toddlers with Disabilities

Funds will be allocated to provide training (*Beginning Together*) for those certified by the PITC on strategies, program practices, and models that support full inclusion of infants and toddlers with disabilities in child care settings. This activity will create a cadre of qualified trainers who will be available to assist local child care providers in complying with the requirements of the Americans with Disabilities Act by creating inclusive environments.

The PITC Regional Training Coordinators will receive technical assistance to support them in creating linkages with early interventionists and infant/toddler child care programs at the local level. The PITC Model Programs will also receive training and technical assistance. Current CDE inclusion materials, such as *Project Exceptional*, will be updated to address the need to create inclusive child care environments for infants and toddlers. Additional materials will be developed for infant/toddler programs and trainers following a review of existing materials and the identification of gaps that need to be filled to promote program improvement.

5.1.1(g) Expansion of the Program for Infant/Toddler Caregivers Institutes

Funds will be allocated to expand the PITC trainer of trainers institutes by having 60 additional trainers completing each of the four modules. This training will expand the cadre of certified PITC trainers in local communities. Additional scholarships will be provided for approximately 75 endorsed trainers at the annual PITC graduate conference.

5.1.1(h) Stipend for Trainers with an Infant/Toddler Focus

Funds will be allocated to support the retention of trainers who have completed PITC trainer-of-trainer initiatives and to provide community-based training to staff working in child care and development programs serving children birth to three years of age. The CDE will provide stipends for PITC endorsed trainers to primarily conduct on site training sessions and provide technical assistance for the enhancement of quality in infant/toddler programs. Center-based programs, as well as small groups of family child care and license-exempt providers, may receive up to 60 hours of training and technical assistance per year. These training activities will be evaluated each year using an on-site, pre-and-post review methodology.

Stipends may also be provided to trained participants when the training is provided outside regular working hours.

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5.1.1(i) Regional Training Coordinators

Funds will be allocated to provide ten regional coordinators to support PITC certified trainers in the provision of training at the local level. These regional coordinators will be responsible for:

- Overseeing the allocation of stipends for local trainers;
- Arranging regular meetings with trainers to share new resource materials;
- Coordinating outreach services to new and existing infant/toddler programs; and
- Coordinating PITC training at the six community college PITC model training sites discussed below.

An additional coordinator will be added to the Los Angeles service area.

5.1.1(j) Model Sites

Funds will be allocated to provide funding necessary for staff training, equipment, and materials to enhance and maintain six existing PITC model demonstration programs. Funds will also be allocated for renovation and repair needed to help modify the site to provide opportunities for unobtrusive observation of the best practices of the PITC philosophy and to support small groups, continuity of care, primary caregiving and following children's individual schedules. In addition, a model program will be added in each of the remaining four regions.

5.1.1(k) Family Child Care Training Project

This project will continue to support the professional development of family child care associations. Nationwide, approximately 70% of children under the age of three years are cared for in family child care settings. Family child care associations offer a unique opportunity to support the professional growth and retention of these providers. The project will be reconfigured to: focus on recruiting new associations in underrepresented areas of the state; provide grants to the associations for professional development activities; and to provide training to assist the associations as necessary.

5.1.1(l) Infant and Toddler Early Development and Learning Guidelines

Funds will be used to develop, publish, and disseminate guidelines for infants and toddlers that are analogous to the *Pre-Kindergarten Learning and Development Guidelines* produced last year by the CDD. The content of these guidelines will then be infused in infant/toddler training activities. PITC endorsed trainers, participants in PITC institutes, PITC model site staff, and other identified groups will receive copies of the guidelines and training about

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including the content of the guidelines in program design and training sessions. Training at the local level will be conducted for directors of infant/toddler programs and other identified target groups, such as family child care and license-exempt providers.

5.1.1(m) Desired Results Infant/Toddler Developmental Profile

Funds will be used to establish the validity and reliability of the infant/toddler developmental profiles of the Desired Results System.

5.1.1(n) Playground Safety Grants

Grants will be provided to infant/toddler programs to ensure that outside play areas meet the new playground safety standards and licensing requirements.

Type of Entity Performing these Tasks

A non-TANF State Agency – CDE/CDD

A non-governmental agency – Healthline; R&R Agencies

Other – WestEd; Community College system; State University system

- The following describes child care resource and referral activities funded and identifies the entity(ies) providing them:

5.1.2(a) Resource and Referral Agencies **

Funds will be allocated to support California's system of resource and referral (R&R) programs that are located in every county of the State. These funds support:

- Administering the TrustLine Application process;
- Maintaining a data base that includes information about all licensed providers offering child care in each R&R program's service delivery area;
- Making referrals for child care services to meet families' needs;
- Disseminating consumer education materials;
- Developing, gathering, and reporting data to the CDE regarding the supply and demand for child care services within their local areas; and
- Carrying out other activities that support center-based, family child care and license-exempt providers, and parents in each county or service area.

Type of Entity Performing this Task

A non-governmental multi-service agency – Resource and Referral Agencies

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- The following describes school-aged child care activities funded and identifies the entity(ies) providing them.

5.1.3(a) Before-and After-School Program Grants

Funds will be used to provide resource grants to new and on-going providers of before-and after-school programs and to support school-age quality enhancement activities. These grants will cover the cost of special, age-appropriate equipment; ancillary educational materials; and minor renovation and repair to meet health and safety requirements.

5.1.3(b) Training for School-Age Program Professionals (Teachers and Administrators)

The California School-Age Consortium will conduct a series of training of trainers institutes. The training will be provided throughout the State using the CDE *Kids' Time* Training Manual, Program Guide, and video as the basis of the curriculum. The training activities will be drawn from the training guide and will include such topics as developmentally appropriate practices for school-age programs, behavior management techniques, creating positive interpersonal environment, assessing children's interests, building partnerships with parents, strengthening links with the child's school, and encouraging community participation. Participants will be provided with a copy of the *Kids' Time* Training Manual, Program Guide, and video to support training in their local communities.

5.1.3(c) Stipend for Trainers with a School-Age and After-School Focus

To support the retention of trainers who have completed State-funded *Kid's Time* training of trainers institutes, and to provide community-based training to staff working in before-and after-school programs, the CDE will provide stipends for endorsed trainers to conduct local training sessions and provide on-site consultation for the enhancement of quality in school-age and after school programs.

5.1.3(d) School-Age Curriculum and Materials Development and Distribution

Program materials will be prepared and disseminated in print and electronic format to foster the training and development of staff and promote high-quality school-age and after-school programs. Materials will include a science activity guide, a handbook for college volunteers, a manual for program administrators working with volunteers, and a report on programs designed for young adolescents.

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Type of Entity Performing these Tasks

A non-TANF State Agency – CDE/CDD

A non-governmental agency – California School-Age Consortium

Other – State University system

- 5.2 The law requires that not less than 4% of the CCDF be set-aside for quality activities (658E(c)(3)(B), 658G, §§98.13(a), 98.16(h), 98.51, 98.16(h)). The Lead Agency estimates that the following amount and percentage will be used for the quality activities (not including earmarked funds):

\$ 65,813,360 (6.9%)

- 5.3 Check either "Yes" or "No" for each activity listed to indicate which activities the Lead Agency will undertake to improve the availability and quality of child care (include activities funded through the 4% quality set-aside as well as the special earmark for quality activities). (658E(c)(3)(B), §§98.13(a), 98.16(h))

Yes No

- X _____ comprehensive consumer education; (§98.51(a)(1)(i))
- X _____ grants or loans to providers to assist in meeting State and local standards; (§98.51(a)(2)(ii))
- X _____ improving the monitoring of compliance with licensing and regulatory requirements; (§98.51(a)(2)(iii))
- X _____ training, education, and technical assistance; (§98.51(a)(2)(iv))
- X _____ improving salaries and other compensation for child care providers; (§98.51(a)(2)(v))
- X _____ other quality activities that increase parental choice, and improve the quality and availability of child care. (§98.51(a)(1)(ii) & (ii))

- 5.4 Describe each activity that is checked "Yes" above and identify the entity(ies) providing them.

5.4.1 Comprehensive Consumer Education

5.4.1(a) Consumer Education Campaign

California has embarked on a major public awareness campaign about the importance of quality child care and development programs to the child, family, and community. Major emphasis focuses on assisting parents in selecting child care services that best meet the needs of their child and their family as they are involved in work or training activities. Large quantities of materials will be reproduced for dissemination by CWDs, public health departments, hospitals, schools, libraries, video stores, child care providers, resource and referral programs, churches, medical offices, training sites, community colleges, and other entities.

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5.4.1(b) 800-KIDS-793 Phone Line for Parents

A 1-800 phone system, accessible to the public throughout the state of California, will offer assistance to parents and child care providers in receiving child care and family resource information in their communities. Callers can speak with an information specialist regarding the child care resource and referral agency in their local area. An automated system, using caller zip code information, will refer callers to name and number of the caller's local child care R&R agency. This bilingual service system is an important component of the comprehensive consumer education campaign.

Type of Entity Performing these Tasks

A non-TANF State Agency – CDE/CDD
A non-governmental agency – R&R Agencies
Other – Public Relations firm

5.4.2 *Grants or Loans to Providers to Assist in Meeting State and Local Standards*

5.4.2(a) Facilities Renovation and Repair Grants **

Funds will be used to maintain compliance with health and safety requirements established by State licensing regulations and local health and fire departments, to comply with the Americans with Disabilities Act (ADA) of 1990, and to purchase equipment necessary for the health and safety of the enrolled children. Funds may not be used for the purchase or improvement of land, or for the purchase, construction, or permanent improvement of the facility. Only public or private nonprofit agencies currently under contract with the CDE/CDD for center-based programs may apply for this funding.

5.4.2(b) Instructional Materials Grants **

Funds will be used to purchase developmentally appropriate durable or consumable curriculum related instructional materials. Grant amounts are determined by using the combined maximum reimbursable amount (MRA) of all subsidized programs operated by an individual agency. No grant is made for less than \$1000. Center-based programs, family child care home networks, and resource and referral agencies currently under contract with the CDE/CDD may apply for this funding.

Type of Entity Performing these Tasks

A non-TANF State Agency – CDE/CDD

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5.4.3 *Improving the Monitoring of Compliance with Licensing and Regulatory Requirements*

5.4.3(a) Implementation of the Desired Results System for Children and Families

Funds will be used to develop and implement an evaluation and accountability system to measure the achievement of the identified desired results for children and their parents receiving State- and federally-subsidized child care and development services. The system will measure the achievement of desired results for children and families as well as the evaluation of achievement of Program Performance Standards for direct service programs, APPs, and R&R agencies.

5.4.3(b) Program Evaluation of the Quality Improvement Activities

Funds will be used to evaluate the efficiency and effectiveness of all major program quality activities over a five-year period. The evaluation results will be used to determine whether to continue, modify, or terminate the activities under review. Beginning in the SFY 1998-1999, several programs are evaluated each year to allow completion of all activities within the five-year cycle. In addition, funds will be directed to assess the validity of developmental measures incorporated into the Desired Results Developmental Profiles.

5.4.3(c) TrustLine Registry and Self-Certification of License-Exempt Providers **

Funds will support the TrustLine Registry to help ensure the safety of California's children. License-exempt child care providers, including nannies and babysitters, who have passed a background screening will be entered into the Registry. To meet minimum requirements, all exempt caregivers listed with TrustLine Registry are required to be cleared through a check of fingerprint records at the California Department of Justice, the child abuse central index, and a Federal Bureau of Investigation fingerprint check. The TrustLine Registry also allows parents to verify that a babysitter and license-exempt child care provider has completed this process. Exempt providers, who serve families that receive state subsidies, must also complete a "Health and Safety Self-Certification" form that is submitted to the CWD.

5.4.3(d) Subsidized TrustLine Applicant Reimbursement

Funds will be used to continue the support of the TrustLine Registration process of state and federally subsidized license-exempt providers. *Health and Safety Code* § 1596.66(c) requires that "...if a fee is charged by the local resource and referral agency that takes a provider's fingerprints, the provider shall be reimbursed for this charge by the State Department of Education,

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through the local child care resource and referral agency, from federal Child Care and Development Block Grant funds to the extent that those funds are available.” Fees associated with the TrustLine process are paid for license exempt providers serving families who are eligible for subsidized child care or as participants in Stages Two and Three of the CalWORKs child care system.

5.4.3(e) License Enforcement for Children’s Child Care Programs **

The CDSS, CCLD, has responsibility for licensing child care facilities under authority of the California *Health and Safety Code* (§§ 1596.70, et seq.) and to enforce minimum standards contained in Title 22, Division 12, of the *California Code of Regulations*. The Division’s mission is to protect the health and safety of children in care. CCLD licenses over 13,000 child care centers and more than 42,000 family child care homes. Ten counties, under agreement with the state, license another 5,900 family child care homes. This plan includes additional funds to conduct comprehensive licensing visits to child day care facilities. In addition, the Child Care Advocacy Program (CCAP) promotes the delivery of quality child care by providing a link between child care licensing and the community. CCAP tailors its activities to benefit each area’s individual needs. A child care advocate is assigned to each CCLD field office and provides information to parents, child care providers, employers, educators and community groups.

Type of Entity Performing these Tasks

A TANF State Agency – CDSS

A non-TANF State Agency – CDE/CDD

A non-governmental agency – R&R Agencies

Other – Independent Program Evaluation Contractor

5.4.4 *Training, Education, and Technical Assistance*

5.4.4(a) Child Development Training Consortium

The Child Development Training Consortium provides direct child development training through college-level coursework to impact the quality of care. This training creates a pool of qualified staff for child care and development programs and addresses the issues of access to training, career ladder access for providers, staff retention, content flexibility, and cost effectiveness while providing outreach at the local level to assist in the recruitment and preparation of underrepresented groups. Participants, currently employed in a child care and development program, earn college units in child development and general education as required to attain the Child Development Permit. Students may attend regularly scheduled core

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curriculum classes and special topic classes based on locally identified needs. Classes may be offered at off-campus locations to facilitate access for working students. Approximately 8,000 students complete more than 55,000 units each year at 96 community colleges. The success of this program is reflected in a 97 percent student course completion rate.

5.4.4(b) Healthline **

The California Child Care Healthline is a statewide, toll-free telephone service accessible to child care providers and parents. The purpose of the Healthline is to provide information and consultation on children's health and safety issues, including communicable disease management and reporting requirements; immunization; behavioral and nutritional concerns; child abuse; children with special needs; and early childhood education and development. Pediatric health professionals answer the Healthline. Referrals to health-related services are made when necessary.

5.4.4(c) Health and Safety Training for Licensed and License-Exempt Providers

R&R agencies will receive funds through a contract to arrange for or provide reimbursement to licensed center-based staff, licensed family child care providers, and license-exempt family child care and in-home providers. Reimbursement is for costs associated with completing health and safety training, including Pediatric cardiopulmonary resuscitation (CPR), first aid, prevention and control of communicable disease in child care settings, safe handling of food, nutrition, disaster preparedness and mitigation, and other health-and safety-related subjects.

5.4.4(d) Training to Support Staff Working with Children with Limited-English Proficiency

A series of two-day Training of Trainers sessions, based on the CDE materials, *Assessing and Fostering a First and a Second Language in Early Childhood*, will be conducted throughout the State. These sessions will target program coordinators and other supervisors serving preschool-aged children in California. Participants will receive a training manual, resource guides, videos, and support materials, which will facilitate additional training in their local communities.

5.4.4(e) Regional Resource Centers to Develop Capacity in Underserved Areas **

In keeping with the legislative intent of *Education Code* § 6289 to "...promote equal access to child development services across the state," ten regional community-based organizations have been selected, through the Request for Proposal (RFP) process, to provide training and technical assistance to

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local agencies to increase their ability to compete successfully for funds and operate quality child care and development programs in underserved communities.

5.4.4(f) Home Instruction Program for Preschool Youngsters (HIPPY)

The Home Instruction Program for Preschool Youngsters (HIPPY) is a home-based, early intervention program that helps parents create experiences for their children that lay the foundation for success in school and later life. The program is designed specifically for those parents who may not feel confident in their own abilities to teach their children. Every other week paraprofessionals, who are also participants in the program, make home visits to role-play HIPPY activities with parents. Parents spend approximately 15-20 minutes a day, five days a week, doing HIPPY activities with their children.

5.4.4(g) Technical Assistance to Child Care Providers for Facilities Financing **

Targeted training and technical assistance will be provided to child care providers to assist them in accessing financing for renovation, expansion, and/or construction of child care facilities.

5.4.4(h) Environmental Rating Project

Individuals will be trained to use the *Environment Rating Scales* (Harms, Clifford, and Cryer), and to establish highly consistent ratings among the reviewers. These highly trained individuals will then rate the teaching and learning environments of classrooms across the state as an essential part of the Desired Results system of program review. This review of program quality will be used to rate the "Teaching and Learning" section of the Coordinated Compliance Review Instrument. The purpose of this classroom rating approach is to help programs increase program quality (i.e., best practice) in order to achieve desired results for children and families. These efforts will promote a high degree of confidence in the review process, and will support the improvement of quality in programs for children attending state-funded programs.

Type of Entity Performing these Tasks

A non-TANF State Agency – CDE/CDD

A non-governmental agency – Healthline; R&R Agencies

Other – LEAs; Community College system; and Independent Training Contractor

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5.4.5 *Improving Salaries and other Compensation for Child Care Providers*

5.4.5(a) California Early Childhood Mentor Program

The mentor program will be conducted at approximately 70 community college campuses. The goal of the program is to support experienced teachers or directors and encourage them to remain in the field of early childhood education. This program provides financial compensation and other benefits to child care and development teachers and directors who are selected as mentors. Mentor applicants must complete a self-assessment of their classroom, and their program director must agree to conditions of their participation. Candidates for Director Mentor undergo a two-day training session and agree to attend subsequent Director Mentor seminar series. A local selection committee convened by the community college chooses mentor teachers and directors. The average stipend per classroom mentor is estimated to be \$1,200 per year. More than 700 early childhood education students and director proteges will be provided alternative placements for practicum experiences and direct program consultation while offering additional salary compensation to 535 mentor teachers and directors.

5.4.5(b) Stipend for Permit

The Stipend for Permit project is managed through the Child Development Training Consortium. This program assists potential teachers in child care and development programs to obtain a Child Development Permit by paying the cost of the application fees. Salaries of child care teaching staff are substantially less than those of workers with similar levels of education. Assistance with the cost of permits provides these staff with incentives to proceed with completing child development related training which research has shown to increase the quality of care provided to children. Staff also benefits from completing the additional coursework, as they are able to secure permanent positions as teachers. A filing fee of \$55 is required for each initial permit application plus a one-time \$56 fingerprint *Live Scan* clearance fee. Implementation of this program continues in collaboration with the California Commission on Teacher Credentialing which issues these permits.

5.4.5(c) Child Development Teacher and Supervisor Grant Program

This program, administered by the California Student Aid Commission, provides assistance through grants for college course work leading to the attainment of a Child Development Permit at the Teacher, Master Teacher, Supervisor, or Program Director levels. Participants in this program are selected on the basis of their demonstrated financial need and academic achievement. They must commit to working one full year in a licensed child

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care center for every year they receive a grant. Commitments will be honored for students approved prior to July 1, 1997, under the pre-existing teacher loan assumption program.

5.4.5(d) State Preschool Career Incentive Grant Program **

This program, administered by the Child Development Training Consortium, provides assistance through grants for college course work leading to the attainment of a Child Development Permit at the Teacher, Master Teacher, Supervisor, or Program Director levels. Participants in this program must be current employees in a CDE/CDD funded State Preschool program. This program serves individuals who do not have access to a Consortium community college campus or attend a four-year college or university. Applications are processed on a first come, first served basis.

5.4.5(e) Child Care Salary and Retention Incentive Program **

Funds for this program will be allocated to LPCs to be used to address retention of qualified child care employees in state-subsidized child care centers.

Type of Entity Performing these Tasks

A non-TANF State Agency – Student Aid Commission
Other – Community College system; LPCs

5.4.6 *Other Quality Activities that Increase Parental Choice, and Improve the Quality and Availability of Child Care*

5.4.6(a) Local Child Care and Development Planning Councils

Local child care and development planning councils, appointed by local county boards of supervisors and county superintendents of schools pursuant to *Education Code* § 8499.5, assess the needs for child care and development services and identify gaps in the supply of existing licensed center-based and family child care programs. Based on the information obtained through periodic needs assessments, the LPCs establish priorities for the use of funds to address the identified needs of the community. These priorities typically specify the ages of the children, the target populations, special needs or circumstances of families, and the geographic areas of service.

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5.4.6(b) Training TANF Recipients as Child Care Teachers

This successful two-year program trains TANF recipients to become child care and development teachers in six geographic areas of the State. During the first year, TANF recipients will be selected, enrolled full time in community college course work with tutorial assistance, and assigned mentor teachers to supervise their field placements and provide support and assistance throughout the program. The second year of training will include 32 hours of paid employment per week, continued education to complete 24 units in early childhood education, and 16 units in general education. Each successful TANF recipient will qualify for a Child Development Teacher Permit at the end of the two-year training period.

5.4.6(c) Family Child Care At Its Best Project – University of California, Davis **

The *Family Child Care At Its Best* Project offered through The Center for Human Services Training & Development at University of California, Davis will provide training and quality improvement services to licensed family child care home providers throughout the State.

5.4.6(d) Pre-Kindergarten Learning and Development Guidelines **

In the previous State Plan, the *Pre-Kindergarten Learning and Development Guidelines* were published and support resources, including a video, were developed. A series of in-service training sessions, based on the *Pre-Kindergarten Learning and Development Guidelines*, will continue throughout the State using facilitated live-feed satellite broadcasts. These sessions will target teachers who work with children aged three through five. In addition, funds will be allocated to develop, produce, and disseminate classroom curriculum materials linked to the *Guidelines*. The *Guidelines*, curriculum materials, and training design will also be adapted for use by all licensed and license-exempt family child care providers.

5.4.6(e) Child Development Permit Matrix Professional Growth Advisors

Funds will be used to continue to coordinate the Statewide Network of Child Development Permit Matrix Professional Growth Advisors. This selected agency will be responsible for establishing a registry of Professional Growth Advisors; providing training for new advisors; providing refresher training for 700 existing advisors; and developing and maintaining an electronic system for providing information about the professional growth plan requirements.

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5.4.6(f) Public Broadcasting Preschool Education Project **

This project will continue to provide training for approximately 2,500 family child care providers and parents and will be conducted within the viewing areas of seven public television stations in Fresno, San Francisco, San Diego, Eureka, San Jose, Los Angeles, and Redding. A training of trainers model will include information on how to use television appropriately in the education of young children. Concepts of emerging literacy will be stressed. Providers will receive a provider handbook, training props, and several storybooks. Each public television station has established a network of trainers in order to offer continued support and to conduct refresher training.

5.4.6(g) Child Care Initiative Project **

The Child Care Initiative Project was created in 1985 to address the shortage of licensed, quality family child care programs in California. The Initiative is conducted by local R&R agencies, which implement a five-stage child care supply-building process. This process includes:

- Assessing local supply and demand and targeting shortages of care in specific geographic areas;
- Recruiting interested individuals who have the potential to become licensed family child care providers;
- Training these individuals to provide quality care and to manage a small business effectively;
- Providing technical assistance to help individuals get licensed and started; and
- Providing ongoing support to help them stay in operation.

While the original and ongoing Child Care Initiative Project requires private and local contributions to match with State General Funds, matching the CCDF funds appropriated for this project is encouraged. A specific matching requirement is not included since it could act as a barrier to building the supply of licensed family child care providers, especially in rural areas and in areas with high concentrations of poverty.

5.4.6(h) Map to Inclusive Child Care

Funds will be allocated to continue activities included in the strategic plan developed by the advisory committee for the Map to Inclusive Child Care Project. This Project began in SFY 1998-1999 with a federal technical assistance grant to support a statewide initiative to expand opportunities for inclusion of children with disabilities and other special needs in child care settings. Major activities will focus on:

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- Developing linkages among key agencies, groups, and stakeholders to create a service delivery system that better meets the needs of children with disabilities and their families;
- Identifying and addressing infrastructure issues, including licensing, that are barriers to inclusion of children with disabilities in child care settings;
- Identifying and disseminating models for training, blended funding, and resource utilization that support best practices for inclusive child care; and
- Working with college faculty to revise early childhood/child development curriculum to include inclusion of children with disabilities.

Participants will include representatives from Head Start and key State agencies including the CDE's Special Education Division and the Departments of Developmental Services, Social Services, and Mental Health.

5.4.6 (i) Inclusion of Children with Disabilities and Special Needs

Funds will be allocated to provide training for preschool and school-age staff on strategies, program practices, program models, and legal requirements regarding inclusion of children with disabilities and children with other special needs in child care and school-age care settings.

Type of Entity Performing these Tasks

A non-TANF State Agency – CDE/CDD

A non-governmental agency – County Superintendents/County Boards of Supervisors; Healthline; R&R Agencies;

Other – LPCs; Community network of Child Care providers; Community College system; State University system; Public Television stations; Independent training contractor

5.5 Is any entity identified in sections 5.1 or 5.4 a non-governmental entity?

() No.

(X) Yes, the following entities named in this Part are non-governmental:

A non-governmental agency – Healthline; R&R Agencies; California School-Age Consortium; Public Television stations; Independent program evaluation contractor; Independent training contractor; Community network of child care providers; and Public Relations firm.

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PART 6 - HEALTH AND SAFETY REQUIREMENTS FOR PROVIDERS

(ONLY THE 50 STATES AND THE DISTRICT OF COLUMBIA COMPLETE PART 6.
ONLY TERRITORIES COMPLETE PART 7.)

The National Resource Center for Health and Safety in Child Care (NRCHSCC) of DHHS's Maternal and Child Health Bureau supports a comprehensive, current, on-line listing of the licensing and regulatory requirements for child care in the 50 States and the District of Columbia. In lieu of requiring a State Lead Agency to provide information that is already publicly available, ACF accepts this compilation as accurately reflecting the States' licensing requirements. The listing, which is maintained by the University of Colorado Health Sciences Center School of Nursing, is available on the World Wide Web at: <http://nrc.uchsc.edu/>

Section 6.1 - Health and Safety Requirements for Center-Based Providers (658E(c)(2)(F), §§98.41, §98.16(j))

6.1.1 Are all center-based providers paid with CCDF funds subject to licensing under State law which is reflected in the NRCHSCC's compilation referenced above? If:

- ☐ YES, answer 6.1.2 and proceed to 6.2.
☒ NO, answer 6.1.2 and 6.1.3.

6.1.2 Have center licensing requirements as relates to staff-child ratios, group size, or staff training been modified since approval of the last State Plan? (§98.41(a)(2) & (3))

- ☐ YES
☒ NO

6.1.3 For that center-based care which is NOT licensed, and therefore not reflected in NRCHSCC's compilation, the following health and safety requirements apply to child care services provided under the CCDF for:

- The prevention and control of infectious disease (including age-appropriate immunizations)

License-exempt center-based providers consist primarily of before-and after-school school-age centers operated by school districts and private schools for their pupils. All staff and children in care must meet the State's prevention and control of infectious diseases and immunization regulations for both public and private schools. These regulations are included in the California *Health and Safety Code*, §§ 3380-3390 and 3450-3456.

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- Building and physical premises safety

License-exempt center-based providers consist primarily of before-and after-school school-age centers operated by school districts and private schools for their pupils. Facilities operated by public schools must meet all health and safety regulations governing school facilities and must meet local city or county ordinances, obtain a fire clearance form the State Fire Marshal, and have staff cleared through the Criminal Record Identification system operated by the California Department of Justice.

- Health and safety training

Staff in license-exempt programs operated by public or private schools are required to meet the same standards as staff in licensed facilities.

Section 6.2 - Health and Safety Requirements for Group Home Providers (658E(c)(2)(F), §§98.41, 98.16(j))

- 6.2.1 Are all group home providers paid with CCDF funds subject to licensing under State law which is reflected in the NRCHSCC's compilation referenced above? If:

- ☒ YES, answer 6.2.2 and proceed to 6.3.
☐ NO, answer 6.2.2 and 6.2.3.

- 6.2.2 Have group home licensing requirements as relates to staff-child ratios, group size, or staff training been modified since the approval of the last State Plan?
(§98.41(a)(2) & (3))

- ☐ YES
☒ NO

- 6.2.3 For that group home care which is NOT licensed, and therefore not reflected in NRCHSCC's compilation, the following health and safety requirements apply to child care services provided under the CCDF for:

- The prevention and control of infectious disease (including age-appropriate immunizations)
- Building and physical premises safety
- Health and safety training

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Section 6.3 - Health and Safety Requirements for Family Providers (658E(c)(2)(F), §§98.41, 98.16(j))

6.3.1 Are all family home child care providers paid with CCDF funds subject to licensing under State law which is reflected in the NRCHSCC's compilation referenced above?
If:

☐ YES, answer 6.3.2 and proceed to 6.4.

☒ NO, answer 6.3.2 and 6.3.3.

6.3.2 Have family home child care provider requirements as relates to staff-child ratios, group size, or staff training been modified since the approval of the last State Plan? (§98.41(a)(2) & (3))

☐ YES

☒ NO

6.3.3 For that family home care which is NOT licensed, and therefore not reflected in NRCHSCC's compilation, the following health and safety requirements apply to child care services provided under the CCDF for:

- The prevention and control of infectious disease (including age-appropriate immunizations)

Family providers that care for the children of one other family besides their own children are exempt from licensing. These license-exempt family providers, except for aunts, uncles, and grandparents, must certify that they have been tested within twelve months prior to employment and were free of tuberculosis. The provider must submit a certification statement that he/she is free of communicable diseases and is physically and mentally capable of caring for children.

- Building and physical premises safety

The exempt provider, except for aunts, uncles, and grandparents, must complete the Health and Safety Self-Certification with the parent of the child to be placed in care. This checklist certifies that the provider's home contains a functioning fire extinguisher and smoke alarm, that poisonous materials are stored away from food and out of the reach of children, that home and yard are free of safety hazards, that the parent(s) will have unlimited access to his/her child(ren) in care, and other similar statements.

The exempt provider, except for aunts, uncles, and grandparents, must submit a TrustLine application and either two fingerprint cards or verification of *Live Scan* submission of fingerprints to the local R&R

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agency for submission to the CDSS for criminal record and child abuse registry clearance. Evidence of the submission of the TrustLine application and the fingerprint cards to the R&R agency along with the Health and Safety Self-Certification must be submitted to the certificate program (APPs including CWDs) within fourteen days of the first date of child care service in order for payment to the provider to continue beyond 28 days after the first date of service.

- Health and safety training

Family providers that care for the children of one other family besides their own children are exempt from licensing. Certificate program (APPs including CWDs) staff must, except for aunts, uncles, and grandparents, review the contents of the Health and Safety Self-Certification with the provider and must refer the provider to the local R&R agency for training materials and information about available health and safety training opportunities.

Section 6.4 - Health and Safety Requirements for In-Home Providers (658E(c)(2)(F), §§98.41, 98.16(j))

6.4.1 Are all in-home child care providers paid with CCDF funds subject to licensing under State law which is reflected in the NRCHSCC's compilation referenced above?
If:

- ☐ YES, answer 6.4.2 and proceed to 6.5.
☒ NO, answer 6.4.2 and 6.4.3.

6.4.2 Have in-home health and safety requirements as relates to staff-child ratios, group size, or training been modified since the approval of the last State Plan?
(§98.41(a)(2) & (3))

- ☐ YES
☒ NO

6.4.3 For that in-home care which is NOT licensed, and therefore not reflected in NRCHSCC's compilation, the following health and safety requirements apply to child care services provided under the CCDF for:

- The prevention and control of infectious disease (including age-appropriate immunizations)

Providers that care for children in the child's own home are exempt from licensing. These license-exempt providers, except for aunts, uncles, and grandparents, must certify that they have been tested within twelve months prior to employment and were free of tuberculosis. The

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provider must submit a certification statement that he/she is free of communicable diseases and is physically and mentally capable of caring for children.

- Building and physical premises safety

Providers that care for children in the child's own home are exempt from licensing. The provider, except for aunts, uncles, and grandparents, must complete the Health and Safety Self-Certification with the parent of the child to be placed in care. This checklist certifies that the child's own home contains a functioning fire extinguisher and smoke alarm, that poisonous materials are stored away from food and out of the reach of children, that the home and yard are free of safety hazards, that the parent(s) will have unlimited access to his/her child(ren) in care, and other similar statements.

Within fourteen days from the first date of service, the provider, except for aunts, uncles, and grandparents, must submit a TrustLine application and either two fingerprint cards or verification of Live Scan submission of fingerprints to the local R&R agency. The TrustLine application and the fingerprint cards are then submitted to the CDSS for criminal record and child abuse registry clearance. Evidence of the submission of the TrustLine application and the fingerprint cards to the R&R agency along with the Health and Safety Self-Certification must be submitted to the certificate program within fourteen days of the first date of child care service in order for payment to the provider to continue beyond 28 days after the first date of service.

- Health and safety training

Providers that care for children in the child's own home are exempt from licensing. Certificate program staff must, except for aunts, uncles, and grandparents, review the contents of the Health and Safety Self-Certification with the provider and shall refer the provider to the local R&R agency for training materials and information about available health and safety training opportunities.

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Section 6.5 - Exemptions to Health and Safety Requirements

At State option, the following relatives: grandparents, great grandparents, aunts, uncles, or siblings who live in a separate residence from the child in care, may be exempted from health and safety requirements (658P(4)(B), §98.41(a)(1)(ii)(A)). Indicate the Lead Agency policy regarding these relative providers:

- () All relative providers are subject to the same requirements as described in sections 6.1 - 6.4 above, as appropriate; there are no exemptions for relatives or different requirements for them.
- () All relative providers are exempt from all health and safety requirements.
- (X) Some or all relative providers are subject to different health and safety requirements from those described in sections 6.1 - 6.4. The following describes those different requirements and identifies which relatives they apply to:

Siblings and great-grandparents are not exempt from the health and safety requirements.

Section 6.6 - Enforcement of Health and Safety Requirements

Each Lead Agency is required to certify that procedures are in effect to ensure that child care providers of services for which assistance is provided comply with all applicable health and safety requirements. (658E(c)(2)(E), §§98.40(a)(2), 98.41(d)) The following is a description of how health and safety requirements are effectively enforced:

- Are child care providers subject to routine unannounced visits?
 - () No
 - (X) Yes, and the following describes the providers subject to unannounced visits and the frequency of those visits.

In accordance with California *Health and Safety Code* §§ 1597.08 – 1597.091, the following describes unannounced visits to licensed center-based programs. All site visits by the CDSS, CCLD are unannounced visits, except for pre-licensing visits. A site visit to all licensed child day care centers is made annually and as often as necessary to ensure compliance.

In accordance with California *Health and Safety Code* §§ 1597.55a and 1597.55b, the following describes unannounced visits to licensed family child care homes. Each family child care home receives an unannounced visit every three years. Unannounced visits are also made on the basis of a complaint and a follow-up visit whenever necessary to ensure that violations have been corrected. Additionally, CCLD annually makes unannounced visits to 10 percent of all licensed family child care homes.

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- Are child care providers subject to background checks?
 - ☐ No
 - ☒ Yes, and the following describes the providers subject to background checks.

In accordance with California *Health and Safety Code* § 1596.871, all licensed providers of care in centers and in family child care homes, the adults responsible for administration or direct supervision of staff, any person, other than a child, residing in the facility, any person who provides care and supervision of the children and any staff person, volunteer or employee who has regular contact with the children are subject to criminal background checks and child abuse checks.

A volunteer providing time-limited specialized services is exempt from fingerprint requirements, if the volunteer:

- Is directly supervised by the licensee or a facility employee who has a criminal record clearance or exemption;
- Spends no more than 16 hours per week at the facility; and
- Is not left alone with children in care.

A student enrolled or participating at an accredited educational institution is exempt, if:

- Directly supervised by the licensee or facility employee with who has a criminal record clearance or exemption;
- The facility has an agreement with the educational institution;
- The student spends no more than 16 hours per week at the facility; and
- The student is not left alone with children in care.

A volunteer who is a relative, legal guardian, or foster parent of a client in the facility is exempt from fingerprint requirements. A contracted repair person retained by the facility, if not left alone with the children in care, is exempt from fingerprint requirements.

In accordance with California *Health and Safety Code* § 1596.603, license-exempt providers are also required to submit fingerprints to the state Department of Justice for a background examination. The names of those who are cleared are included in a TrustLine registry.

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- Does the State require that child care providers report serious injuries that occur while a child is in care? (Serious injuries are defined as injuries requiring medical treatment by a doctor, nurse, dentist, or other medical professional.)

☐ No

☒ Yes, and the following describes the State's reporting requirements and how such injuries are tracked (if applicable).

Licensed child care center providers are required to telephone or fax a serious injury report within the next working day and submit a written report within seven days following the event. The CDSS will track these occurrences and determine if a site visit or other follow-up is warranted.

Licensed family child care home providers are currently not required to report incidents to the licensing agency. However, if a local child protective agency receives evidence of a serious injury that occurred at a child care facility because of abuse or willful neglect by the program personnel, the agency will alert the CDSS. The CDSS will temporarily suspend the license if the investigation indicates that there is imminent danger to the children in care.

- Other methods used to ensure health and safety requirements are effectively enforced:

The CDSS' CCLD, through its thirteen district offices with almost 200 Child Care Licensing Program Analysts (LPAs), monitors all licensed child care facilities, except for family child care homes licensed by nine CWDs under contract with the CDSS.

To ensure the maximum health and safety of children, LPAs monitor compliance with the CDSS laws and regulations by:

- Conducting group orientations for potential applicants;
- Issuing or denying licenses, as well as, suspending or revoking a license on any grounds specified in the California *Health and Safety Code* §§ 1596.885, 1596.886, 1596.887 and 1596.866;
- Monitoring child care facilities for compliance with health and safety, and personal rights standards;
- Citing deficient areas and assessing civil penalties when corrections are not made;
- Investigating complaints against facilities;
- Providing technical support to assist facilities to meet health and safety standards, including referring licensees to the CCLD's Child Care Advocate Program; and
- Initiating or recommending enforcement actions against facilities when compliance cannot be obtained.

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Fire clearances for child care centers and large (group) family child care homes are provided by the appropriate city or county fire department, the district providing fire protection services, or the State Fire Marshal.

Section 6.7 – Exemptions from Immunization Requirements

The State assures that children receiving services under the CCDF are age-appropriately immunized, and that the health and safety provisions regarding immunizations incorporate (by reference or otherwise) the latest recommendations for childhood immunizations of the State public health agency. (§98.41(a)(1))

The State exempts the following children from immunization (check all that apply):

- ☐ Children who are cared for by relatives (defined as grandparents, great grandparents, siblings (if living in a separate residence), aunts and uncles).
- ☐ Children who receive care in their own homes.
- ☒ Children whose parents object to immunization on religious grounds.
- ☒ Children whose medical condition contraindicates immunization.

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APPENDIX 1 -- PROGRAM ASSURANCES AND CERTIFICATIONS

The Lead Agency, named in Part 1 of this Plan, assures that:

- 1) upon approval, it will have in effect a program which complies with the provisions of the Plan printed herein, and is administered in accordance with the Child Care and Development Block Grant Act of 1990 as amended, Section 418 of the Social Security Act, and all other applicable Federal laws and regulations. (658D(b), 658E(a))
- (2) the parent(s) of each eligible child within the State who receives or is offered child care services for which financial assistance is provided is given the option either to enroll such child with a child care provider that has a grant or contract for the provision of the service; or to receive a child care certificate. (658E(c)(2)(A)(i))
- (3) in cases in which the parent(s) elects to enroll the child with a provider that has a grant or contract with the Lead Agency, the child will be enrolled with the eligible provider selected by the parent to the maximum extent practicable. (658E(c)(2)(A)(ii))
- (4) the child care certificate offered to parents shall be of a value commensurate with the subsidy value of child care services provided under a grant or contract. (658E(c)(2)(A)(iii))
- (5) with respect to State and local regulatory requirements, health and safety requirements, payment rates, and registration requirements, State or local rules, procedures or other requirements promulgated for the purpose of the Child Care and Development Fund will not significantly restrict parental choice from among categories of care or types of providers. (658E(c)(2)(A), §98.15(p), §98.30(g), §98.40(b)(2), §98.41(b), §98.43(c), §98.45(d)).
- (6) that children receiving services under the CCDF are age-appropriately immunized, and that the health and safety provisions regarding immunizations incorporate (by reference or otherwise) the latest recommendation for childhood immunizations of the State public health agency. (§98.41(a)(1))

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The Lead Agency also certifies that:

- (1) it has procedures in place to ensure that providers of child care services for which assistance is provided under the Child Care and Development Fund afford parents unlimited access to their children and to the providers caring for their children during the normal hours of operations and whenever such children are in the care of such providers. (658E(c)(2)(B))
- (2) it maintains a record of substantiated parental complaints and makes information regarding such complaints available to the public on request. (658E(c)(2)(C))
- (3) it will collect and disseminate to parents of eligible children and the general public, consumer education information that will promote informed child care choices. (658E(c)(2)(D))
- (4) it has in effect licensing requirements applicable to child care services provided in the State. (658E(c)(2)(E))
- (5) there are in effect within the State (or other area served by the Lead Agency), under State or local law, requirements designed to protect the health and safety of children; these requirements are applicable to child care providers that provide services for which assistance is made available under the Child Care and Development Fund. (658E(c)(2)(E))
- (6) procedures are in effect to ensure that child care providers that provide services for which assistance is provided under the Child Care and Development Fund comply with all applicable State or local health and safety requirements. (658E(c)(2)(G))
- (7) payment rates under the Child Care and Development Fund for the provision of child care services are sufficient to ensure equal access for eligible children to comparable child care services in the State or sub-State area that are provided to children whose parents are not eligible to receive assistance under this program or under any other Federal or State child care assistance programs. (658E(c)(4)(A))

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APPENDIX 2 - ELIGIBILITY AND PRIORITY TERMINOLOGY:

For purposes of determining eligibility and priority for CCDF-funded child care services, lead agencies must define the following terms. (658P, 658E(c)(3)(B))

- (1) attending (a job training or educational program; include minimum hours if applicable)

The parent has certified and submitted documentation of his/her participation in a job training or educational program leading to employment.

- (2) in loco parentis -

Any person living with a child who has responsibility for the care and welfare of the child.

- (3) job training and educational program -

A vocational training or educational program that will lead directly to a recognized trade, para-profession or profession.

- (4) physical or mental incapacity (if the Lead Agency provides such services to children age 13 and older) -

The child is physically or mentally incapable of self-care as determined by a legally qualified professional, i.e., a person licensed under applicable laws and regulations of the State of California to perform legal, medical, health, or social services for the general public.

- (5) protective services -

Services provided through the local CWD's Child Protective Services Unit to children identified by a legal, medical or social services agency or an emergency shelter as abused, neglected or exploited, or at risk of abuse, neglect or exploitation. Protective Services include emergency response, assessment, shelter care, respite care, and out-of-home placement.

- (6) residing with -

Living in the same household.

- (7) special needs child -

A child who is limited-English-proficient, has exceptional needs, is severely handicapped, or is receiving child protective services.

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- (8) very low income -

Family Income adjusted for family size that is at or below 50 percent of the SMI.

- (9) working (include minimum hours if applicable) -

Being employed or seeking employment by the parent(s) that precludes the supervision of the family's child(ren). The family's period for "seeking employment" is limited to 60 working days during the fiscal year. Service while seeking employment is limited to an average not to exceed five days per week for an average of less than 6½ hours per day. For CalWORKs families any limitation is to be identified in their approved Welfare-to-Work plan.

- (10) Additional terminology related to conditions of eligibility or priority established by the Lead Agency:

none

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**ATTACHMENT A
DESCRIPTION OF CALIFORNIA RATE STRUCTURES**

Reference: State Plan Section 3.2 – Payment Rates for the Provision of Child Care

California does not use a set rate schedule for paying providers of subsidized child care and development programs. The rate structures are different for certificate programs versus contracts to provide direct service.

Direct Service Contractors:

Centers and family child care home networks under contract with the CDE are reimbursed based upon one of two statutorily established rates. One rate applies to providers required to operate pursuant to Title 5 of the *California Code of Regulations*. The other rate is established for programs that operate pursuant to Title 22 of the *California Code of Regulations*. In this structure, the equal access concept applies in reverse, i.e., equal access to comparable services is provided to children whose parents are not eligible if such parents pay a fee equal to the rate provided for eligible children.

Certificate Programs:

Each year a regional market rate survey is conducted to determine the market rates and rate ceilings for child care services. The survey determines the market rates by sampling providers in center-based care and family child care homes, for both full-time and part-time children, for three different age groupings. The rate ceilings are then determined by calculating 1.5 standard deviations from the median rates. Adjustment factors are applied to the standard rate ceilings to allow for a higher rate for special needs children and for evening and weekend care.

Contractors are required to pay each provider the same rate(s) the provider charges nonsubsidized families, not to exceed the rate ceiling described above for the type of care provided. In this way, equal access to comparable care is ensured in each county in the State. The complete Market Rate Survey follows.

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**ATTACHMENT B
FAMILY FEE SCHEDULE**

[Reference: Section 3.5 – Sliding Fee Scale for Child Care Services](#)

Attached is the current Management Bulletin 00-14, effective September 2000 that expires when superceded.